

Requirement 7

MONITORING AND EVALUATION PLAN

Describe a specific method(s) of evaluation and monitoring that ensures program and fiscal performance in accordance with the objectives in your Community Action Plan.

The plan must include the following:

1. A process to ensure that data are collected to document the progress of the agency's projections.
2. A process to ensure that reports are prepared and submitted to CSD in accordance with contract requirements.

The Community Action Partnership of San Diego (CAP) develops, evaluates and monitors the program and fiscal performance of Family Self-Sufficiency (FSS) and other Health and Human Services Agency (HHSA) contracts. Monitoring, as practiced by the County of San Diego, is an on-going process of ensuring quality of service and contract compliance. The County has transitioned to performance based contracting in purchasing of services. CAP's contracts reflect this change in practice by developing Performance Work Statements which emphasize objective measurable performance objectives (outcomes) rather than process. CAP's procurement of services and monitoring of contracts also reflect this change in contracting methodology.

The 2008-2009 Community Action Plan will be referenced in continuing contracts with CAP's Family Self-Sufficiency providers. The National Performance Indicators selected for the Plan and detailed in the CSD 801 (NPI Programs Report) will be incorporated as objectives in the Performance Work Statements in the FSS contracts. Specific service requirements designed to realize the objectives will also be included. CAP staff conducts routine desk and on-site reviews to ensure satisfactory achievement (results of FSS contracts) of contract objectives. Program evaluation is based on measurements of cumulative as well as individual achievement with respect to outcome objectives (See Program Evaluation below).

In accordance with the Health and Human Services Agency's External Contracting Policies, CAP has established a Contract Administration Plan that governs the monitoring of all contracts. CAP performs the primary monitoring tasks, while certain functions such as administrative and fiscal reviews have been centralized and are the responsibility of the Health and Human Services Agency's Contract Support division. The division of monitoring responsibilities is indicated below.

New this coming year is the Quality Assurance component and the updating and revision of CAP policies and procedures to align with the new pay-for-performance methodology.

1. Cap Monitoring Responsibilities

Development of Monitoring Plan/Tool

Contract Administrators monitor contracts for compliance and are responsible for developing a monitoring plan specific to each contract assigned. The monitoring plan forms the basis for monitoring performance, determines the frequency of site visits, and serves as a roadmap for the contract administrator to determine contractor performance. A critical aspect of the plan involves the development of monitoring tools for site visits. Monitoring tools mirror the Performance Work Statements and aid staff in determining whether the contractor is in compliance with the contract, and whether contractor systems produce reliable and accurate information.

1. Contractor Orientation

CAP staff conducts contractor orientations for new contracts. The orientation provides a forum to discuss contractor and staff roles and responsibilities, contract requirements, Scope of Work and payment methods.

2. Performance Monitoring

CAP uses the monitoring plan to ensure compliance with contract provisions through the following methods:

- Site visits - Staff visit contractors and project sites periodically to evaluate contract compliance through observation, interviews, examination and verification of records. Site visits include entrance and exit conferences, and focus on compliance with the Performance Work Statement and the contractor's internal control systems and delivery processes. The frequency of site visits varies.
- Contractor meetings – CAP schedules regular operational meetings with contractors to review/resolve issues. Meetings are held quarterly with additional meetings scheduled on an as-needed basis.
- Desk reviews – Reviews of Quarterly or Monthly Progress Reports to ensure completeness and accuracy of the report. Reports are reviewed upon receipt and outcomes are closely tracked for achievement results.
- Invoice validation – As part of the transition to performance based contracting, the payment structure parallels the performance work statement. Payments are closely aligned with the outcomes. Therefore CAP's monitoring system now includes invoice validation as part of the routine monitoring. Invoice validation activities include:

- ❑ Review of pay points claimed and supporting documentation to ensure validity of claim;
 - ❑ Checking accuracy of calculations and validity of costs against the contract budget for cost reimbursement line items;
 - ❑ Ensuring delivery of services or deliverables upon which payment is predicated;
 - ❑ Resolving any identified discrepancies;
 - ❑ Approving the claim and forwarding it for payment; and
 - ❑ Periodic on-site validation of contractor expenses for approved line items and pay points claimed.
- Technical Assistance – Contract staff clarifies and interprets policies and procedures, and makes referrals to appropriate resources to help contractors improve systems.
- Corrective Action Notices (CANs) – When contractor performance fails to meet acceptable standards and technical assistance does not achieve the desired results, notices of non-compliance are issued to ensure contract compliance. Contractor failure to respond to a CAN that specifies what actions need to be taken to address the area of non-compliance may result in suspension of reimbursement.

2. **Agency Contract Support Monitoring Responsibilities**

The Agency Contract Support Division is responsible for three monitoring tasks: 1) reviewing contract standard terms and conditions; 2) conducting special reviews that are investigative in nature and usually result from allegations of misconduct; and 3) conducting reviews of contractors' fiscal systems. All Agency Contract Support reviews of CAP contracts are conducted in coordination with CAP.

3. **Reporting**

CAP's reporting system ensures that data are collected to document the progress of the projections detailed in the CSD 801 (Programs Report) and that reports summarizing these data are prepared and submitted to CSD in accordance with contract requirements.

CAP has instituted a comprehensive system to ensure accurate and timely reporting to funding sources. The system is comprised of the following components:

- Report templates for each of CAP's FSS providers. These templates mirror the projections detailed in the CSD 801 (Programs Report).
- Conducting periodic checks of funding source, including CSD, websites to confirm report deadlines.

- A master grid that tracks all required reports and includes report periods, deadlines and other critical information.
- An automated tickler system to alert key individuals about approaching deadlines for completion of reports.
- Automated roll up of key data elements using linked spreadsheets.
- Designated staff with clearly defined reporting responsibilities.

4. Program Evaluation

Evaluation of the service providers will answer five questions:

- a. Will the program achieve its intended outcomes?
- b. What barriers, problems, or systemic factors blocked achievement of objectives?
- c. What was the impact (that is, what difference did the achieved outcomes make)?
- d. What changes in strategic directions, goals, and/or objectives need to be made?
- e. What process changes need to be made?